
U.S. Department of State Records Schedule

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Automated Data Processing

A-03-001-01 **Reserved for future use**

Description:

Disposition:

DispAuthNo: Reserved **Date Edited:** 10/1/1998

A-03-001-02 **Finding Aids (or indexes)**

Description: Indexes, lists, registers, and other finding aids used only to provide access to records authorized for destruction. Excludes records containing abstracts or other information that can be used as an informational source apart from the related records.

Disposition: Destroy or delete with the related records or sooner if no longer needed.

DispAuthNo: GRS-23, item 9 **Date Edited:** 10/1/1998

Budget Services and Financial Systems

A-03-002-01 **Budget Estimates and Justifications**

Description: Budget estimates and justifications prepared or consolidated by bureaus and their subordinate organizational units.

Disposition: Destroy 3 years after close of fiscal year covered.

DispAuthNo: NC1-059-77-26, item 9 **Date Edited:** 10/1/1998

A-03-002-02 **Budget Background Records**

Description: Cost statements, rough data and similar materials accumulated in the preparation of annual budget estimates, including duplicates of budget estimates and justifications and related appropriation language sheets, narrative statements, and related schedules; and originating offices' copies of reports submitted to budget offices.

Disposition: Destroy 1 year after the close of the fiscal year covered by the budget.

DispAuthNo: GRS 5, item 2 **Date Edited:** 10/1/1998

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Diplomatic Pouch and Mail

A-03-003-01a Mail Registration and Receipts

Description: Records relating to incoming or outgoing registered mail pouches, registered, certified, insured, and special delivery mail including receipts and return receipts. Included are Forms DS-454, Receipt for Registered Mail, and DS-712, Registered Mail Invoice.

Disposition: TEMPORARY: Destroy when one (1) year old.

DispAuthNo: GRS 12, item 5a

Date Edited: 10/1/1998

A-03-003-01b Mail Registration and Receipts

Description: Diplomatic Mail Records- This schedule applies to all copies of the records described below maintained by offices throughout the Department and by all Foreign Service posts. It is intended to apply to the forms specified below as well as to any new or revised forms that may be used in the future for the same purpose.

1. Diplomatic Pouch Mail Registration Form (DS-1022), showing sender, addressee, security classification and identification of contents, date of registration, and signature of registering officer.

Disposition: TEMPORARY: Destroy when two (2) years old.

DispAuthNo: II-NNA-3047, item 1

Date Edited: 10/1/1998

A-03-003-01c Mail Registration and Receipts

Description: Diplomatic Mail Records- This schedule applies to all copies of the records described below maintained by offices throughout the Department and by all Foreign Service posts. It is intended to apply to the forms specified below as well as to any new or revised forms that may be used in the future for the same purpose.

2. Pouch Dispatch Control Form (DS-1019), required as certification for pouch shipments weighing more than two (2) pounds.

Disposition: TEMPORARY: Destroy when one (1) year old.

DispAuthNo: II-NNA-3047, item 2

Date Edited: 6/14/2007

A-03-003-02 Messenger Service Files

Description: Daily logs, assignment records and instructions, dispatch records, delivery receipts, route schedules, and related records.

Disposition: Destroy when 2 months old.

DispAuthNo: GRS 12, item 1

Date Edited: 10/1/1998

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Financial Management

A-03-004-01 Reimbursement of Emergency Storage Costs

Description: Communications with Foreign Service personnel regarding reimbursement of emergency storage costs for household effects.

Disposition: Block annually. Destroy when 3 years old.

DispAuthNo: NC1-059-77-26, item 14 **Date Edited:** 10/1/1998

A-03-004-02 Financial Plans

Description: Financial plans and related worksheets, reports and communications.

Disposition: Destroy 3 years after close of fiscal year in which prepared.

DispAuthNo: NC1-059-77-26, item 11 **Date Edited:** 10/1/1998

A-03-004-03 Appropriation Allotment Files

Description: Allotment records showing status of obligations and allotments under each authorized appropriation.

Disposition: Destroy 6 years and 3 months after the close the fiscal year involved.

DispAuthNo: GRS 7, item 3 **Date Edited:** 10/1/1998

A-03-004-04 Expenditure Accounting Posting and Control Files

Description: Records such as distribution ledgers, registers of interoffice transfers, expenditure voucher file, liquidation memorandums and other series of posting and control media, subsidiary to the allotment ledgers, and not otherwise provided for in this schedule. Included are related communications, reports, tabulations and worksheets.

Disposition: Destroy when 3 years old.

DispAuthNo: GRS 7, item 4a **Date Edited:** 10/1/1998

A-03-004-05 Allotment Reports

Description: Monthly reports of allottees, showing current and cumulative to date transactions as reflected in their distribution ledgers. Included are related communications and worksheets.

Disposition: Destroy 4 years after close of fiscal year prepared.

DispAuthNo: NC1-059-77-26, item 12 **Date Edited:** 10/1/1998

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A-03-004-06a(1)	Routine Procurement and Contract Files-Contracts, requisitions, purchase orders, leases, and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment
Description:	a. Original Contracts. (1) Transactions of MORE than \$25,000 and all construction contracts exceeding \$2,000.
Disposition:	Destroy 6 years and 3 months after final payment.
DispAuthNo:	GRS 3, item 3a(1)(a) Date Edited: 1/5/2010
A-03-004-06a(2)	Routine Procurement and Contract Files-Contracts, requisitions, purchase orders, leases, and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment
Description:	a. Original Contracts. (2) Transactions of LESS than or equal to \$25,000 and construction contracts under \$2,000.
Disposition:	Destroy 3 years after final payment.
DispAuthNo:	GRS 3, item 3a(1)(b) Date Edited: 1/5/2010
A-03-004-06b	Routine Procurement and Contract Files-Contracts, requisitions, purchase orders, leases, and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment
Description:	b. Other copies.
Disposition:	Destroy upon termination or completion.
DispAuthNo:	GRS 3, item 3c Date Edited: 10/1/1998
A-03-004-07	SmartPay Worldwide Purchase Card (Government Credit Card) Files - Arranged by fiscal year
Description:	Copies of monthly credit card statements, receipts, and related documentation. NOTE: Signed original of Monthly Credit Card Statement is maintained by the Office of Finance for 6 years and 3 months (GRS 6, item 1a). Supersedes the International Merchant Purchase Authorization Card (I.M.P.A.C.) program.
Disposition:	TEMPORARY: Destroy after GAO audit or when 3 years old, whichever is sooner.
DispAuthNo:	N1-059-96-29, item 1 Date Edited: 6/29/2010

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Training

A-03-005-01 Training Forms and Related Records

Description: Consists of office copies of completed training forms, including the SF-182, Request, Authorization, Agreement and Certification of Training; DS-755, Request for Training; DS-1889, Training Enrollment Request for DSTC; DS-3070, Training Agreement; DS-3033, Training Nomination Form; DS-1276, Authorization for Student Training; and other forms and documentation related to employee applications for training.

Disposition: Block annually and destroy when two (2) years old.

DispAuthNo: GRS 23, item 1

Date Edited: 10/1/1998

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Information Management Services

A-03-006-01 Tracking and Control Records

Description: Logs, registers, and other records used to control or document the status of correspondence, reports, and other records authorized for destruction. Included are correspondence control forms, routing slips, job control records and other similar records used solely to control work flow.

Disposition: Destroy or delete when no longer needed.

DispAuthNo: GRS-23, item 8

Date Edited: 4/1/1999

A-03-006-02a Daily Activity Records-Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities while serving in an official capacity

Description: a. Records containing substantive information relating to official activities, the substance of which has not been incorporated into official files, excluding records relating to official activities of high level officials.

Disposition: Destroy or delete when 2 years old.

DispAuthNo: GRS 23, item 5a

Date Edited: 4/1/1999

A-03-006-02b Daily Activity Records-Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities while serving in an official capacity

Description: b. Records documenting routine activities containing no substantive information and records containing substantive information, the substance of which has been incorporated into official files, excluding records relating to official activities of high level officials.

Disposition: Destroy or delete when no longer needed.

DispAuthNo: GRS 23, item 5b

Date Edited: 4/1/1999

A-03-006-03a Suspense Records-Documents arranged in chronological order as a reminder that action is required on a given date or that a reply to action is expected and, if not received, should be traced on a given date.

Description: a. Notes or reminders to take some other action.

Disposition: Destroy or delete after action is taken.

DispAuthNo: GRS 23, item 6a

Date Edited: 4/1/1999

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A-03-006-03b(1) **Suspense Records-Documents arranged in chronological order as a reminder that action is required on a given date or that a reply to action is expected and, if not received, should be traced on a given date**

Description: b. File copy or an extra copy of an outgoing communication, filed by the date on which a reply is expected. Withdraw documents when reply is received.

(1) If suspense copy is an extra copy.

Disposition: Destroy immediately.

DispAuthNo: GRS 23, item 6b(1) **Date Edited:** 4/1/1999

A-03-006-03b(2) **Suspense Records-Documents arranged in chronological order as a reminder that action is required on a given date or that a reply to action is expected and, if not received, should be traced on a given date**

Description: b. File copy or an extra copy of an outgoing communication, filed by the date on which a reply is expected. Withdraw documents when reply is received.

(2) If suspense copy is the file copy.

Disposition: Incorporate into official files.

DispAuthNo: GRS 23, item 6b(2) **Date Edited:** 4/1/1999

A-03-006-04 **Records Management**

Description: Routine correspondence, memoranda, reports, forms and other documents dealing with the disposition of records or review of the records management activities of the office. Included are copies of DS-693B, Retirement of Records; NA Form 13001, Notice of Intent to Destroy Records, etc.

Disposition: Destroy when no longer needed for reference.

DispAuthNo: GRS 16, item 2b **Date Edited:** 4/1/1999

Allowances

A-03-007-01 **Separation Allowance Records**

Description: Copies of SF-1190, Foreign Allowances Application Grant, and Report for the payment of Foreign Service separation allowances, copies of separation allowance grants, reports of quarters expenses, and related records.

Disposition: Block annually. Destroy when 3 years old.

DispAuthNo: NC1-059-77-26, item 7 **Date Edited:** 4/1/1999

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Management Operations

A-03-008-01 Letters of Transmittal

Description: Originating office copies of letters of transmittal that do not add any information to that contained in the transmittal material and receiving office copy if filed separately from transmittal material. Excludes classified material covered in Section 10.

Disposition: Destroy when 3 months old or when no longer needed, whichever is sooner.

DispAuthNo: GRS 23, item 7

Date Edited: 10/13/2010

A-03-008-02 Requests for Information

Description: Routine requests for information or publications and copies of replies which require no administrative action, no policy decision, and no special compilation or research for reply.

Disposition: Destroy when 3 months old or when no longer needed, whichever is sooner.

DispAuthNo: GRS 23, item 7

Date Edited: 10/13/2010

A-03-008-03 Technical/Reference Publications

Description: Copies of Departmental publications, releases, circulars, publications of other Government agencies, legislative publications and documents, post reports, speeches given by Department and other Government agency officials, and related documents.

Disposition: Review annually and destroy material of no further reference value.

DispAuthNo: Non-Record

Date Edited: 4/1/1999

A-03-008-04a Correspondence - Thank You Letters and Letters of Appreciation

Description: Letters of Thank You and Letters of Appreciation addressed to employees from members of Federal or non-Federal organizations. The letters are sent to employees who have provided "above and beyond" service to customers. Letters contain no significant documentation of the rights of citizens, Government activities, and no records pertaining to documenting the national experience. (EXCLUDES Department level correspondence)

a. Original Letters.

Disposition: TEMPORARY: Provide original letters to individual employee (addressee) to use for framing, placement in scrapbooks or personal files. Destroy/delete letters when two years old or when no longer needed for convenience of reference, whichever is later.

DispAuthNo: N1-059-05-12, item 1a

Date Edited: 7/11/2007

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A-03-008-04b	Correspondence -Thank You Letters and Letters of Appreciation		
Description:	Letters of Thank You and Letters of Appreciation addressed to employees from members of Federal or non-Federal organizations. The letters are sent to employees who have provided "above and beyond" service to customers. Letters contain no significant documentation of the rights of citizens, Government activities, and no records pertaining to documenting the national experience. (EXCLUDES Department level correspondence) b. Copies of letters placed in official files, excluding copies filed in OPF. (Note: copies placed in OPF are disposed of in accordance with disposition instructions for OPF.)		
Disposition:	TEMPORARY: Destroy /delete when 2 years old, or in accordance with disposition instructions of files in which copies of letters are placed, whichever is later.		
DispAuthNo:	N1-059-05-12, item 1b	Date Edited:	7/11/2007
A-03-008-05	Post Administrative Operations File		
Description:	Communications with Foreign Service posts regarding post administrative procedures, supplies, equipment, fiscal operations, personnel quarters, buildings, records, commissary, and other administrative matters.		
Disposition:	Destroy 5 years after close of year in which prepared or when no longer needed, whichever is sooner.		
DispAuthNo:	NC1-059-77-26, item 1	Date Edited:	4/1/1999

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Personnel Administration

A-03-009-01a Duplicate Personnel Files

Description: a. Supervisor Personnel Files - Correspondence, memoranda, forms, and other records relating to positions, authorizations, pending actions; copies of position authorizations, pending actions; copies of positions descriptions, and records on individual employees duplicated in or not appropriate for the Official Personnel Folder.

Disposition: Review annually and destroy superseded or obsolete documents; or destroy file relating to an employee within 1 year after separation or transfer.

DispAuthNo: GRS 1, item 18a **Date Edited:** 4/1/1999

A-03-009-01b Duplicate Personnel Files

Description: b. Duplicate Documentation - Other copies of documents duplicated in Official Personnel Folders.

Disposition: Destroy when 6 months old.

DispAuthNo: GRS 1, item 18b **Date Edited:** 4/1/1999

A-03-009-02 Bureau Work/Study Program Employee Files

Description: Copies of request and official notification for DS clearance and SF-171, evaluation reports, correspondence with individual prior to hiring, transcript of grades received, letter of recommendation for the work/study program, and statement of number of college credits earned in the program.

Disposition: Destroy 2 years after separation of employee.

DispAuthNo: NC1-059-77-15 **Date Edited:** 4/1/1999

A-03-009-03 Staffing and Complement Files

Description: Reports, memorandums, communications, lists and worksheets regarding the staffing of offices or Foreign Service posts, requested changes or adjustments in staffing, and matters relating to individual employees.

Disposition: Destroy 5 years after close of fiscal year in which compiled.

DispAuthNo: NC1-059-77-26, item 2 **Date Edited:** 8/9/2007

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A-03-009-04 Time and Attendance Source Records

Description: All time and attendance records upon which leave input data is based, such as sign-in sheets; DS-1194, Time and Attendance Reports; JF-56, Authorization of Premium Compensation; DS-1734M, Tatel/PC (draft and final report); DS-1216, Leave Statements; flextime records, and leave applications for jury and military duty. Records may be in either electronic or paper form.

Disposition: The following disposition is temporarily suspended due to the AFGE litigation hold. These records may not be destroyed until further notice.
Block files annually. Retire yearly accumulations of one box or more to RSC when no longer needed for transfer to WNRC. Destroy after GAO audit or when 6 years old, whichever is sooner.

DispAuthNo: GRS 2, item 7 **Date Edited:** 4/1/1999

A-03-009-05a Leave Slips-Application for Leave, OPM 71, or requests for and approvals of leave

Description: a. If timecard or TATEL DS-1734M draft has been initialed by employee.

Disposition: The following disposition is temporarily suspended due to the AFGE litigation hold. These records may not be destroyed until further notice.
Destroy leave slip at end of following pay period.

DispAuthNo: GRS 2, item 6a **Date Edited:** 4/1/1999

A-03-009-05b Leave Slips-Application for Leave, OPM 71, or requests for and approvals of leave

Description: b. If timecard or TATEL draft has not been initialed by employee.

Disposition: The following disposition is temporarily suspended due to the AFGE litigation hold. These records may not be destroyed until further notice.
Destroy leave slip after GAO audit or when 3 years old, whichever is sooner.

DispAuthNo: GRS 2, item 6b **Date Edited:** 4/1/1999

A-03-009-06a Administrative Grievance, Disciplinary, and Adverse Actions Files

Description: a. Administrative Grievances Files (5 CFR 771)

Records relating to grievances raised by agency employees, except EEO complaints. These case files include statements of witnesses, reports of interviews and hearings, examiner findings and recommendations, a copy of the original decision, related correspondence and exhibits, and records relating to a reconsideration request.

Disposition: Temporary. Destroy sooner than 4 years, but no later than 7 years after case is closed.

DispAuthNo: GRS 1, item 30a **Date Edited:** 7/10/2013

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A-03-009-06b	Administrative Grievance, Disciplinary, and Adverse Actions Files		
Description:	b. Adverse Action Files (5 CFR 752) and Performance-Based Actions (5 CFR 432). Case files and records related to adverse actions and performance-based actions (removal, suspension, reduction-in-grade, furlough) against employees. The file includes a copy of the proposed adverse action with supporting documents; statements of witnesses; employee reply; hearing notices, reports, and decisions; reversal of action; and appeal records, EXCLUDING letters of reprimand which are filed in the OPF.		
Disposition:	Temporary. Destroy no sooner than 4 years, but no later than 7 years after case is closed.		
DispAuthNo:	GRS 1, item 30b	Date Edited:	7/10/2013

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Security

A-03-010-01 General Security and Safety Correspondence File

Description: Documents pertaining to general security and safety within an office, such as copies of security survey and inspection reports, including those maintained by the Bureau of Diplomatic Security. Includes OF-117, Notice of Security Violations, copies of security violation reports, OF-118, Records of Violation and related documents.

Disposition: Block annually. Destroy when 2 years old.

DispAuthNo: GRS 18, item 1 **Date Edited:** 4/1/1999

A-03-010-02a Top Secret Accounting and Control Files

Description: a. Registers maintained at control points to indicate accountability over Top Secret documents, reflecting the receipt, dispatch, or destruction of the documents. Includes OF-123, Top Secret Document Inventory Record, and OF-119, Record of Material Removed for Overnight Custody.

Disposition: Destroy 5 years after documents shown on forms are downgraded, transferred, or destroyed.

DispAuthNo: GRS 18, item 5a **Date Edited:** 4/1/1999

A-03-010-02b Top Secret Accounting and Control Files

Description: b. Forms accompanying documents to ensue continuing control, showing names of persons handling the documents, intra-office routing, and comparable data. Includes OF-115, Top Secret Cover Sheet, and OF-112, Classified Material Receipt.

Disposition: Destroy when related document is downgraded, transferred, or destroyed.

DispAuthNo: GRS 18, item 5b **Date Edited:** 4/1/1999

A-03-010-03 Classified Document Inventory Files

Description: Forms, ledgers, or registers used to show identity, internal routing, and final disposition of classified documents, but exclusive of classified documents and receipts relating to Top Secret material identified elsewhere. Includes OF-124, Classified Cover Sheet and OF-119, Record of Material Removed for Overnight Custody.

Disposition: Destroy when 2 years old.

DispAuthNo: GRS 18, item 4 **Date Edited:** 4/1/1999

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A-03-010-04 Destruction Certificates Files

Description: Certificates relating to the destruction of classified documents.

Disposition: Destroy when 2 years old.

DispAuthNo: GRS 18, item 3 **Date Edited:** 4/1/1999

A-03-010-05a Classified Document Container Security Files

Description: a. Forms or lists used to record safe and padlock combinations, names of individuals knowing combinations, and comparable data used to control access into classified document containers. Includes OF-62, Safe or Cabinet Security Record, OF-63, Security Container Information, and OF-111, Combination Safe Card.

Disposition: Destroy when superseded by a new form or list, or upon turn in of containers.

DispAuthNo: GRS 18, item 7a **Date Edited:** 4/1/1999

A-03-010-05b Classified Document Container Security Files

Description: b. Forms placed on safes, cabinets, or vaults containing security classified documents that record opening, closing, and routine checking of the security of the container, such as locking doors and windows, and activating alarms. Included are such forms as SF-701, Activity Security Checklist, and SF-702, Security Container Check Sheet.

Disposition: Destroy 3 months following the last entry on the form. NOTE: Forms involved in investigations will be retained until completion of the investigation.

DispAuthNo: GRS 18, item 7b **Date Edited:** 4/1/1999

A-03-010-06 Access Request Files

Description: Requests and authorizations for individuals to have access to classified files.

Disposition: Destroy 2 years after authorization expires.

DispAuthNo: GRS 18, item 6 **Date Edited:** 4/1/1999

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Supplies and Equipment

A-03-011-01 Supplies, Services and Equipment (General)

Description: Records relating to the ordering of supplies, requests for office services and equipment requests and receipts. Included are OF-263, OF-263A, DS-1089 and 1089A, Requisition for Equipment, Supplies, Furniture, Furnishings or Services; DS 5R, Requisition for Publishing, Reproduction, and Distribution Services and related documents.

Disposition: Block annually. Destroy when 2 years old or when no longer needed, whichever is sooner.

DispAuthNo: GRS 23, item 1 **Date Edited:** 4/1/1999

A-03-011-02 Property Receipt Records

Description: Consists of OF-130, Personal Custody Property Receipt, for property items loaned to individuals for their use and related documents.

Disposition: Destroy original when property returned. Destroy copies when operational purposes have been served.

DispAuthNo: II-NN-3250, item 57 **Date Edited:** 4/1/1999

A-03-011-03a Property Survey Records-Consists of copies of DS-310, Property Survey Report (Domestic) and related documents. Report provides property accountability for all office equipment and furniture.

Description: a. Supply Branch copy.

Disposition: Destroy 10 years after disposal of equipment.

DispAuthNo: II-NN-3250, item 58a **Date Edited:** 4/1/1999

A-03-011-03b Property Survey Records-Consists of copies of DS-310, Property Survey Report (Domestic) and related documents. Report provides property accountability for all office equipment and furniture.

Description: b. Office copy.

Disposition: Destroy upon completion of new inventory.

DispAuthNo: II-NN-3250, item 58b **Date Edited:** 4/1/1999

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Travel

A-03-012-01 Travel Files

Description: Records relating to routine and operational aspects of travel and visits by other than prominent individuals and congressmen. Included are travel orders, per diem vouchers, transportation requests, hotel reservations, and all supporting documents.

Disposition: Block annually. Destroy when 2 years old.

DispAuthNo: GRS 9, item 4a

Date Edited: 4/1/1999

Transitory Files (including in electronic form)

A-03-013-01 Transitory Files (including in electronic form)

Description: Records of short-term (180 days or less) interest, including in electronic form (e.g., email messages), which have minimal or no documentary or evidential value. Included are such records as:

Routine requests for information or publications and copies of replies which require no administrative action, no policy decision, and no special compilation or research for reply;

Quasi-official notices including memoranda and other records that do not serve as the basis of official action, such as a notice of holidays or charity and welfare fund appeals, bond campaigns, and similar activities;

Originating office copies of letters of transmittal that do not add any information to that contained in the transmitted material, and receiving office copy if filed separately from transmitted material;

Records documenting routine activities containing no substantive information, such as routine notifications of meetings, scheduling of work-related trips and visits, and other scheduling related activities;

Suspense and tickler files or "to-do" and task lists that serve as a reminder that an action is required on a given date or that a reply to action is expected, and if not received should be traced on a given date.

Disposition: TEMPORARY: Destroy immediately, or when no longer needed for reference, or according to a predetermined time period or business rule (e.g., implementing the auto-delete feature of electronic mail systems).

DispAuthNo: GRS 23, item 7

Date Edited: 3/22/2006

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Electronic Records

A-03-020-00 Introduction

Description: This schedule applies to electronic records created or received by Federal agencies including those managed for agencies by contractors. It covers records created by computer operators, programmers, analysts, systems administrators, and all personnel with access to a computer. Disposition authority is provided for certain master files, including some tables that are components of data base management systems, and certain files created from master files for specific purposes. In addition, this schedule covers certain electronic records produced by end users in office automation applications. These disposition authorities apply to the categories of electronic records described in GRS 20, regardless of the type of computer used to create or store these records.

GRS 20 does not cover all electronic records. Disposition may not be carried out for electronic records not covered by GRS 20 unless authorized by a Standard Form (SF) 115, Request for Records Disposition Authority, that has been approved by the National Archives and Records Administration (NARA). The records covered by several items in this schedule are authorized for erasure or deletion when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes. NARA cannot establish a more specific retention that would be appropriate in all applications. Each agency should, when appropriate, determine a more specific disposition instruction, such as "Delete after X update cycles" or "Delete when X years old," for inclusion in its records disposition directives or manual. NARA approval is not needed to set retention periods for records in the GRS that are authorized for destruction when no longer needed.

The below General Records Schedule items that are common to most offices should be used unless there is a program specific schedule that exists to cover these types of records - see your organization's records schedules first before applying these schedules. If an organization wishes to apply a different retention period other than listed in this schedule and there is no existing program schedule or that schedule is out of date, the Department must submit a request to the National Archives providing justification for the exception.

Disposition: N/A

DispAuthNo: N/A

Date Edited: 9/1/2009

A-03-020-01a Files/Records Relating to the Creation, Use, and Maintenance of Computer Systems, Applications, or Electronic Records

Description: a. Electronic files or records created solely to test system performance, as well as hard copy printouts and related documentation for the electronic files/records.

Disposition: Delete/destroy when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

DispAuthNo: GRS 20, item 1a

Date Edited: 9/1/2009

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A-03-020-01b	Files/Records Relating to the Creation, Use, and Maintenance of Computer Systems, Applications, or Electronic Records
Description:	b. Electronic files or records used to create or update a master file, including, but not limited to, work files, valid transaction files, and intermediate input/output records.
Disposition:	Delete after information has been transferred to the master file and verified.
DispAuthNo:	GRS 20, item 1b
	Date Edited: 9/1/2009
A-03-020-01c	Files/Records Relating to the Creation, Use, and Maintenance of Computer Systems, Applications, or Electronic Records
Description:	c. Electronic files and hard copy printouts created to monitor system usage, including, but not limited to, log-in files, password files, audit trail files, system usage files, and cost-back files used to assess charges for system use.
Disposition:	Delete/destroy when the agency determines they are no longer needed for administrative, legal, audit, or other operational purposes.
DispAuthNo:	GRS 20, item 1c
	Date Edited: 9/1/2009
A-03-020-02	Reserved.
Description:	Reserved.
Disposition:	
DispAuthNo:	Reserved
	Date Edited: 9/8/2009
A-03-020-03	Reserved.
Description:	Reserved.
Disposition:	
DispAuthNo:	Reserved
	Date Edited: 9/8/2009

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A-03-020-04 Data Files Consisting of Summarized Information

Description: Records that contain summarized or aggregated information created by combining data elements or individual observations from a single master file or data base that is disposable under a GRS item or is authorized for deletion by a disposition job approved by NARA after January 1, 1988, EXCLUDING data files that are created as disclosure-free files to allow public access to the data which may not be destroyed before securing NARA approval.

[NOTE: Data files consisting of summarized information which were created from a master file or data base that is unscheduled, or that was scheduled as permanent but no longer exists or can no longer be accessed, may not be destroyed before securing NARA approval.]

Disposition: Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

DispAuthNo: GRS 20, item 4

Date Edited: 9/1/2009

A-03-020-05 Records Consisting of Extracted Information

Description: Electronic files consisting solely of records extracted from a single master file or data base that is disposable under GRS 20 or approved for deletion by a NARA-approved disposition schedule, EXCLUDING extracts that are:

produced as disclosure-free files to allow public access to the data; or

produced by an extraction process which changes the informational content of the source master file or data base; which may not be destroyed before securing NARA approval. For print and technical reformat files see items 6 and 7 of this schedule respectively.

[NOTES: ((1) Records consisting of extracted information that was created from a master file or data base that is unscheduled, or that was scheduled as permanent but no longer exists or can no longer be accessed, may not be destroyed before securing NARA approval. (2) See item 12 of this schedule for other extracted data.]

Disposition: Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

DispAuthNo: GRS 20, item 5

Date Edited: 9/1/2009

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A-03-020-06 **Print File**

Description: Electronic file extracted from a master file or data base without changing it and used solely to produce hard-copy publications and/or printouts of tabulations, ledgers, registers, and statistical reports.

Disposition: Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

DispAuthNo: GRS 20, item 6

Date Edited: 9/1/2009

A-03-020-07 **Technical Reformat File**

Description: Electronic file consisting of data copied from a complete or partial master file or data base made for the specific purpose of information interchange and written with varying technical specifications, EXCLUDING files created for transfer to the National Archives.

Disposition: Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

DispAuthNo: GRS 20, item 7

Date Edited: 9/1/2009

A-03-020-08a **Backups of Files**

Description: Electronic copy, considered by the agency to be a Federal record, of the master copy of an electronic record or file and retained in case the master file or database is damaged or inadvertently erased.

a. File identical to records scheduled for transfer to the National Archives.

Disposition: Delete when the identical records have been captured in a subsequent backup file or when the identical records have been transferred to the National Archives and successfully copied.

DispAuthNo: GRS 20, item 8a

Date Edited: 9/1/2009

A-03-020-08b **Backups of Files**

Description: Electronic copy, considered by the agency to be a Federal record, of the master copy of an electronic record or file and retained in case the master file or database is damaged or inadvertently erased.

b. File identical to records authorized for disposal in a NARA-approved records schedule.

Disposition: Delete when the identical records have been deleted, or when replaced by a subsequent backup file.

DispAuthNo: GRS 20, item 8b

Date Edited: 9/1/2009

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A-03-020-09 Finding Aids (or Indexes)

Description: Electronic indexes, lists, registers, and other finding aids used only to provide access to records authorized for destruction by the GRS or a NARA-approved SF 115, EXCLUDING records containing abstracts or other information that can be used as an information source apart from the related records.

Disposition: Delete with related records or when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes, whichever is later.

DispAuthNo: GRS 20, item 9

Date Edited: 9/1/2009

A-03-020-10 Special Purpose Programs

Description: Application software necessary solely to use or maintain a master file or database authorized for disposal in a GRS item or a NARA-approved records schedule, EXCLUDING special purpose software necessary to use or maintain any unscheduled master file or database or any master file or database scheduled for transfer to the National Archives.

Disposition: Delete when related master file or database has been deleted.

DispAuthNo: GRS 20, item 10

Date Edited: 9/1/2009

A-03-020-11a(1) Documentation

Description: a. Data systems specifications, file specifications, codebooks, record layouts, user guides, output specifications, and final reports (regardless of medium) relating to a master file, database or other electronic records.

(1) Documentation relating to electronic records that are scheduled for destruction in the GRS or in a NARA-approved agency schedule.

Disposition: Destroy or delete upon authorized deletion of the related electronic records or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is later.

DispAuthNo: GRS 20, item 11a(1)

Date Edited: 9/1/2009

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A-03-020-11a(2)	Documentation
Description:	a. Data systems specifications, file specifications, codebooks, record layouts, user guides, output specifications, and final reports (regardless of medium) relating to a master file, database or other electronic records. (2) Documentation relating to electronic records that are scheduled for permanent retention in the GRS or in a NARA-approved agency schedule.
Disposition:	Permanent. Transfer to the National Archives with the permanent electronic records to which the documentation relates.
DispAuthNo:	GRS 20, item 11a(2) Date Edited: 9/1/2009
A-03-020-11b	Documentation
Description:	b. Copies of records relating to system security.
Disposition:	Use GRS 24, item 5: Destroy/delete 1 year after system is superseded.
DispAuthNo:	GRS 20, item 11b Date Edited: 9/1/2009
A-03-020-12a	Downloaded and Copied Data
Description:	Derived data and data files that are copied, extracted, merged, and/or calculated from other data generated within the agency, when the original data is retained. a. Derived data used for ad hoc or one-time inspection, analysis or review, if the derived data is not needed to support the results of the inspection, analysis or review. [NOTE: See item 5 of this schedule for other extracted data.]
Disposition:	Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.
DispAuthNo:	GRS 20, item 12a Date Edited: 9/1/2009

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A-03-020-12b	Downloaded and Copied Data
Description:	Derived data and data files that are copied, extracted, merged, and/or calculated from other data generated within the agency, when the original data is retained. b. Derived data that provide user access in lieu of hard copy reports that are authorized for disposal. [NOTE: See item 5 of this schedule for other extracted data.]
Disposition:	Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.
DispAuthNo:	GRS 20, item 12b Date Edited: 9/1/2009
A-03-020-12c	Downloaded and Copied Data
Description:	Derived data and data files that are copied, extracted, merged, and/or calculated from other data generated within the agency, when the original data is retained. c. Metadata or reference data, such as format, range, or domain specifications which is transferred from a host computer or server to another computer for input, updating, or transaction processing operations. [NOTE: See item 5 of this schedule for other extracted data.]
Disposition:	Delete from the receiving system or device when no longer needed for processing.
DispAuthNo:	GRS 20, item 12c Date Edited: 9/1/2009
A-03-020-13	Word Processing Files
Description:	Documents such as letters, memoranda, reports, handbooks, directives, and manuals recorded on electronic media such as hard disks or floppy diskettes after they have been copied to an electronic recordkeeping system, paper, or microform for recordkeeping purposes.
Disposition:	Delete from the word processing system when no longer needed for updating or revision.
DispAuthNo:	GRS 20, item 13 Date Edited: 9/1/2009

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A-03-020-14 **Electronic Mail Records**

Description: Sender and recipient versions of electronic mail messages that meet the definition of Federal records, and any attachments to the record messages after they have been copied to an electronic recordkeeping system, paper, or microform for recordkeeping purposes.

[NOTE: Along with the message text, the recordkeeping system must capture the names of sender and recipients and date (transmission data for recordkeeping purposes) and any receipt data when required.]

Disposition: Delete from the e-mail system after copying to a recordkeeping system.

DispAuthNo: GRS 20, item 14

Date Edited: 9/1/2009

A-03-020-15a **Electronic Spreadsheets**

Description: Electronic spreadsheets generated to support administrative functions or generated by an individual as background materials or feeder reports.

a. When used to produce hard copy that is maintained in organized files.

Disposition: Delete when no longer needed to update or produce hard copy.

DispAuthNo: GRS 20, item 15a

Date Edited: 9/1/2009

A-03-020-15b **Electronic Spreadsheets**

Description: Electronic spreadsheets generated to support administrative functions or generated by an individual as background materials or feeder reports.

b. When maintained only in electronic form.

Disposition: Delete after the expiration of the retention period authorized for the hard copy by the GRS or a NARA-approved SF 115. If the electronic version replaces hard copy records with differing retention periods and agency software does not readily permit selective deletion, delete after the longest retention period has expired.

DispAuthNo: GRS 20, item 15b

Date Edited: 9/1/2009

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A-03-020-16 **Hard copy printouts created to meet ad hoc business needs.**

Description: Printouts derived from electronic records created on an ad hoc basis for reference purposes or to meet day-to-day business needs.

Disposition: Destroy when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes, provided the printouts do not contain substantive information, such as substantive annotations, that is not included in the electronic records. (Printouts that contain substantive information should be disposed of in accordance with the NARA-approved schedule that covers the series in which they are filed.)

DispAuthNo: GRS 20, item 16

Date Edited: 9/1/2009

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Information Technology Operations and Management Records

A-03-024-00 Introduction

Description: This schedule provides disposal authorization for certain files created and maintained in the operation and management of information technology (IT) and related services. As defined in the Information Technology Management Reform Act of 1996 (now the Clinger-Cohen Act), "information technology" includes computers, ancillary equipment, software, firmware and similar procedures, services (including support services), and related resources.

The below General Records Schedule items that are common to most IT offices should be used unless there is a program specific schedule that exists to cover these types of records - see your organization's records schedules first before applying these schedules. If an organization wishes to apply a different retention period other than listed in this schedule and there is no existing program schedule or that schedule is out of date, the Department must submit a request to the National Archives providing justification for the exception.

Disposition: N/A

DispAuthNo: N/A

Date Edited: 4/14/2009

A-03-024-01a Oversight and Compliance Files

Description: Records in offices with agency-wide or bureau-wide responsibility for managing IT operations relating to compliance with IT policies, directives, and plans including recurring and special reports, responses to findings and recommendations, and reports of follow-up activities.

a.Performance measurements and benchmarks.

Disposition: TEMPORARY. Destroy/delete when 5 years old or 1 year after responsible office determines that there are no unresolved issues, whichever is longer.

DispAuthNo: GRS 24, item 1a

Date Edited: 4/14/2009

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Chapter 03: Records Common to Most Organizational Areas

A-03-024-01b Oversight and Compliance Files.

Description: Records in offices with agency-wide or bureau-wide responsibility for managing IT operations relating to compliance with IT policies, directives, and plans including recurring and special reports, responses to findings and recommendations, and reports of follow-up activities.

b.All other oversight and compliance records, including certification and accreditation of equipment, quality assurance reviews and reports, reports on implementation of plans, compliance reviews, and data measuring or estimating impact and compliance.

[Note: See item 3b for performance files relating to systems.]

Disposition: TEMPORARY. Destroy/delete when 3 years old or 1 year after responsible office determines that there are no unresolved issues, whichever is longer.

DispAuthNo: GRS 24, item 1b

Date Edited: 4/14/2009

A-03-024-02 IT Facility, Site Management, and Equipment Support Services Records

Description: Records maintained by offices responsible for the control and operation of buildings and rooms where IT equipment, systems, and storage media are located, including files identifying IT facilities and sites, and files concerning implementation of IT facility and site management and equipment support services provided to specific sites, including reviews, site visit reports, trouble reports, equipment service histories, reports of follow-up actions, and related correspondence.

Disposition: TEMPORARY. Destroy/delete when 3 years old, or when superseded or obsolete, whichever is longer.

DispAuthNo: GRS 24, item 2

Date Edited: 4/14/2009

A-03-024-03a IT Asset and Configuration Management Files

Description: Inventories of IT assets, network circuits, and building or circuitry diagrams, including equipment control systems such as databases of barcodes affixed to IT physical assets.

Disposition: TEMPORARY. Destroy/delete 1 year after completion of the next inventory.

DispAuthNo: GRS 24, item 3a

Date Edited: 4/14/2009

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A-03-024-03b(1)	IT Asset and Configuration Management Files
Description:	b.Records created and retained for asset management, performance and capacity management, system management, configuration and change management, and planning, follow-up, and impact assessment of operational networks and systems. Includes, but is not limited to: (1)Data and detailed reports on implementation of systems, applications and modifications; application sizing, resource and demand management; documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes; documentation of software distribution and release or version management.
Disposition:	TEMPORARY. Destroy/delete 1 year after termination of system.
DispAuthNo:	GRS 24, item 3b(1) Date Edited: 4/14/2009
A-03-024-03b(2)	IT Asset and Configuration Management Files
Description:	b.Records created and retained for asset management, performance and capacity management, system management, configuration and change management, and planning, follow-up, and impact assessment of operational networks and systems. Includes, but is not limited to: (2) Records of routine IT maintenance on the network infrastructure documenting preventative, corrective, adaptive and perfective (enhancement) maintenance actions, including requests for service, work orders, service histories, and related records. [Note: If any maintenance activities have a major impact on a system or lead to a significant change, those records should be maintained as part of the item 3b(1).]
Disposition:	TEMPORARY. Destroy/delete when 3 years old or 1 year after termination of system, whichever is sooner.
DispAuthNo:	GRS 24, item 3b(2) Date Edited: 4/14/2009
A-03-024-04a(1)	System Backups and Tape Library Records
Description:	a.Backup tapes maintained for potential system restoration in the event of a system failure or other unintentional loss of data.
Disposition:	TEMPORARY. Delete/destroy incremental backup tapes when superseded by a full backup, or when no longer needed for system restoration, whichever is later.
DispAuthNo:	GRS 24, item 4a(1) Date Edited: 4/14/2009

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A-03-024-04a(2)	System Backups and Tape Library Records
Description:	a.Backup tapes maintained for potential system restoration in the event of a system failure or other unintentional loss of data. [Note: See GRS 20, item 8, for backups of master files and databases.]
Disposition:	TEMPORARY. Delete/destroy full backup tapes when second subsequent backup is verified as successful or when no longer needed for system restoration, whichever is later.
DispAuthNo:	GRS 24, item 4a(2) Date Edited: 4/14/2009
A-03-024-04b	System Backups and Tape Library Records
Description:	b.Tape library records including automated files and manual records used to control the location, maintenance, and disposition of magnetic media in a tape library including list of holdings and control logs.
Disposition:	TEMPORARY. Destroy/delete when superseded or obsolete.
DispAuthNo:	GRS 24, item 4b Date Edited: 4/14/2009
A-03-024-05a	Files Related to Maintaining the Security of Systems and Data
Description:	a.System Security Plans and Disaster Recovery Plans.
Disposition:	TEMPORARY. Destroy/delete 1 year after system is superseded.
DispAuthNo:	GRS 24, item 5a Date Edited: 4/14/2009
A-03-024-05b	Files Related to Maintaining the Security of Systems and Data
Description:	b.Documents identifying IT risks and analyzing their impact, risk measurements and assessments, actions to mitigate risks, implementation of risk action plan, service test plans, test files and data.
Disposition:	TEMPORARY. Destroy/delete 1 year after system is superseded.
DispAuthNo:	GRS 24, item 5b Date Edited: 4/14/2009

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A-03-024-06a	User Identification, Profiles, Authorizations, and Password Files, EXCLUDING records relating to electronic signatures
Description:	a.Systems requiring special accountability, e.g., those containing information that may be needed for audit or investigative purposes and those that contain classified records.
Disposition:	TEMPORARY. Destroy/delete inactive file 6 years after user account is terminated or password is altered, or when no longer needed for investigative or security purposes, whichever is later.
DispAuthNo:	GRS 24, item 6a Date Edited: 4/14/2009
A-03-024-06b	User Identification, Profiles, Authorizations, and Password Files, EXCLUDING records relating to electronic signatures
Description:	b.Routine systems, i.e., those not covered by item 6a.
Disposition:	TEMPORARY. Delete/destroy when the agency determines they are no longer needed for administrative, legal, audit, or other operational purposes.
DispAuthNo:	GRS 24, item 6b Date Edited: 4/14/2009
A-03-024-07	Computer Security Incident Handling, Reporting and Follow-up Records
Description:	Computer Security Incident Handling, Reporting and Follow-up Records.
Disposition:	TEMPORARY. Destroy/delete 3 years after all necessary follow-up actions have been completed.
DispAuthNo:	GRS 24, item 7 Date Edited: 4/14/2009
A-03-024-08a	IT Operations Records
Description:	a.Workload schedules, run reports, and schedules of maintenance and support activities.
Disposition:	TEMPORARY. Destroy/delete when 1 year old.
DispAuthNo:	GRS 24, item 8a Date Edited: 4/14/2009
A-03-024-08b	IT Operations Records
Description:	b.Problem reports and related decision documents relating to the software infrastructure of the network or system.
Disposition:	TEMPORARY. Destroy/delete 1 year after problem is resolved.
DispAuthNo:	GRS 24, item 8b Date Edited: 4/14/2009

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A-03-024-08c IT Operations Records

Description: c.Reports on operations, including measures of benchmarks, performance indicators, and critical success factors, error and exception reporting, self-assessments, performance monitoring; and management reports.

Disposition: TEMPORARY. Destroy/delete when 3 years old.

DispAuthNo: GRS 24, item 8c

Date Edited: 4/14/2009

A-03-024-09a Financing of IT Resources and Services.

Description: [Note: Copies of records needed to support contracts should be in procurement files, which are scheduled under GRS 3.]

a.Agreements formalizing performance criteria for quantity and quality of service, including definition of responsibilities, response times and volumes, charging, integrity guarantees, and non-disclosure agreements.

Disposition: TEMPORARY. Destroy/delete 3 years after agreement is superseded or terminated.

DispAuthNo: GRS 24, item 9a

Date Edited: 4/14/2009

A-03-024-09b Financing of IT Resources and Services

Description: [Note: Copies of records needed to support contracts should be in procurement files, which are scheduled under GRS 3.]

b.Files related to managing third-party services, including records that document control measures for reviewing and monitoring contracts and procedures for determining their effectiveness and compliance.

Disposition: TEMPORARY. Destroy/delete 3 years after control measures or procedures are superseded or terminated.

DispAuthNo: GRS 24, item 9b

Date Edited: 4/14/2009

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Chapter 03: Records Common to Most Organizational Areas

A-03-024-09c **Financing of IT Resources and Services**

Description: [Note: Copies of records needed to support contracts should be in procurement files, which are scheduled under GRS 3.]

c.Records generated in IT management and service operations to identify and allocate charges and track payments for computer usage, data processing and other IT services EXCLUDING records that are part of the agency cost accounting system, which are covered in GRS 8, items 6 and 7.

Disposition: TEMPORARY. Destroy/delete records with no outstanding payment issues when 3 years old.

DispAuthNo: GRS 24, item 9c **Date Edited:** 4/14/2009

A-03-024-10a **IT Customer Service Files**

Description: a.Records related to providing help desk information to customers, including pamphlets, responses to Frequently Asked Questions, and other documents prepared in advance to assist customers.

Disposition: TEMPORARY. Destroy/delete 1 year after record is superseded or obsolete.

DispAuthNo: GRS 24, item 10a **Date Edited:** 4/14/2009

A-03-024-10b **IT Customer Service Files**

Description: b.Help desk logs and reports and other files related to customer query and problem response; query monitoring and clearance; and customer feedback records; and related trend analysis and reporting.

Disposition: TEMPORARY. Destroy/delete when 1 year old or when no longer needed for review and analysis, whichever is later.

DispAuthNo: GRS 24, item 10b **Date Edited:** 4/14/2009

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A-03-024-11a **IT Infrastructure Design and Implementation Files**

Description: Records of individual projects designed to provide and support new agency IT infrastructure (see Note), systems, and services. Includes records documenting (1) requirements for and implementation of functions such as maintaining network servers, desktop computers, and other hardware, installing and upgrading network operating systems and shared applications, and providing data telecommunications; (2) infrastructure development and maintenance such as acceptance/accreditation of infrastructure components, analysis of component options, feasibility, costs and benefits, and work associated with implementation, modification, and troubleshooting; (3) models, diagrams, schematics, and technical documentation; and (4) quality assurance reviews and test plans, data, and results.

a.Records for projects that are not implemented.

[Note: IT Infrastructure means the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications. Components include hardware such as printers, desktop computers, network and web servers, routers, hubs, and network cabling, as well as software such as operating systems (e.g., Microsoft Windows and Novell NetWare) and shared applications (e.g., electronic mail, word processing, and database programs). The services necessary to design, implement, test, validate, and maintain such components are also considered part of an agency IT infrastructure. However, records relating to specific systems that support or document mission goals are not covered by this item and must be scheduled individually by the agency by submission of an SF 115 to NARA.]

Disposition: TEMPORARY. Destroy/delete 1 year after final decision is made.

DispAuthNo: GRS 24, item 11a

Date Edited: 4/14/2009

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Chapter 03: Records Common to Most Organizational Areas

A-03-024-11b **IT Infrastructure Design and Implementation Files**

Description: Records of individual projects designed to provide and support new agency IT infrastructure (see Note), systems, and services. Includes records documenting (1) requirements for and implementation of functions such as maintaining network servers, desktop computers, and other hardware, installing and upgrading network operating systems and shared applications, and providing data telecommunications; (2) infrastructure development and maintenance such as acceptance/accreditation of infrastructure components, analysis of component options, feasibility, costs and benefits, and work associated with implementation, modification, and troubleshooting; (3) models, diagrams, schematics, and technical documentation; and (4) quality assurance reviews and test plans, data, and results.

b.Records for projects that are implemented.

[Note: IT Infrastructure means the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications. Components include hardware such as printers, desktop computers, network and web servers, routers, hubs, and network cabling, as well as software such as operating systems (e.g., Microsoft Windows and Novell NetWare) and shared applications (e.g., electronic mail, word processing, and database programs). The services necessary to design, implement, test, validate, and maintain such components are also considered part of an agency IT infrastructure. However, records relating to specific systems that support or document mission goals are not covered by this item and must be scheduled individually by the agency by submission of an SF 115 to NARA.]

Disposition: TEMPORARY. Destroy/delete 5 years after project is terminated.

NOTE: Does not apply to Item A-07-004-03b (N1-59-00-19, item 3b).

DispAuthNo: GRS 24, item 11b

Date Edited: 4/14/2009

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Chapter 03: Records Common to Most Organizational Areas

A-03-024-11c IT Infrastructure Design and Implementation Files

Description: Records of individual projects designed to provide and support new agency IT infrastructure (see Note), systems, and services. Includes records documenting (1) requirements for and implementation of functions such as maintaining network servers, desktop computers, and other hardware, installing and upgrading network operating systems and shared applications, and providing data telecommunications; (2) infrastructure development and maintenance such as acceptance/accreditation of infrastructure components, analysis of component options, feasibility, costs and benefits, and work associated with implementation, modification, and troubleshooting; (3) models, diagrams, schematics, and technical documentation; and (4) quality assurance reviews and test plans, data, and results.

c. Installation and testing records.

[Note: IT Infrastructure means the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications. Components include hardware such as printers, desktop computers, network and web servers, routers, hubs, and network cabling, as well as software such as operating systems (e.g., Microsoft Windows and Novell NetWare) and shared applications (e.g., electronic mail, word processing, and database programs). The services necessary to design, implement, test, validate, and maintain such components are also considered part of an agency IT infrastructure. However, records relating to specific systems that support or document mission goals are not covered by this item and must be scheduled individually by the agency by submission of an SF 115 to NARA.]

Disposition: TEMPORARY. Destroy/delete 3 years after final decision on acceptance is made.

DispAuthNo: GRS 24, item 11c

Date Edited: 4/14/2009

A-03-024-12 Reserved.

Description: Reserved.

Disposition: Reserved.

DispAuthNo: GRS 24, item 12

Date Edited: 5/28/2010

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A-03-024- 13a(1) Public Key Infrastructure (PKI) Records

Description: a. PKI Administrative Records.

Records are PKI-unique administrative records that establish or support authentication by tying the user to a valid electronic credential and other administrative non-PKI records that are retained to attest to the reliability of the PKI transaction process. Included are policies and procedures planning records; stand-up configuration and validation records; operation records; audit and monitor records; and termination, consolidation, or reorganizing records. Policies and procedures planning records relate to defining and establishing PKI systems. Records relate to such activities as determining that a PKI should be established; creating project implementation plans; creating the certificate policy (CP), certification practice statement (CPS), and other key operating documents; developing procedures in accordance with the CP and CPS; conducting risk analyses; developing records management policies (including migration strategies); and selecting the entity that will serve as registration authority (RA). Stand-up configuration and validation records relate to installing and validating both the Certification Authority (CA) and Registration Authority (RA), obtaining final approval or rejection from the agency oversight or authorizing body, creating and generating a CA signature key, testing security procedures for the CA and RA, validating certification revocation procedures, and establishing back-up and storage for the PKI system. Operation records relate to the certification application; certificate issuance and key generation (including key pair generation and private key loading and storage of private keys and components of private keys); certificate acceptance, validation, revocation, suspension, replacement, and renewal; creating and maintaining an event log; and installing and validating software updates. Audit and monitor records relate to conducting periodic internal and external reviews of auditable events specified in the Federal Bridge Certification Authority (FBCA) X.509 Certificate Policy and other Entity CA policies, monitoring compliance with security requirements specified in the CPS and other operating procedures, investigating internal fraud or misconduct, and conducting internal and external audits of software and systems security. Termination, consolidation, or reorganization records relate to terminating, consolidating, or reorganizing a PKI; notifying subscribers of decisions, transferring inactive keys and revocation certificate lists to storage repositories, transferring consenting subscribers and certificates and related materials to a new Certificate Authority, destroying sensitive records involving privacy (in accordance with an authorized records schedule), and shutting down and disposing of RA hardware and CA software.

(1) FBCA CAs.

Disposition: Destroy/delete when 7 years 6 months, 10 years 6 months, or 20 years 6 months old, based on the maximum level of operation of the CA, or when no longer needed for business, whichever is later. (N1-GRS-07-3 item 13a1)

DispAuthNo: GRS 24, item 13a(1)

Date Edited: 5/28/2010

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Chapter 03: Records Common to Most Organizational Areas

A-03-024-13a(2) Public Key Infrastructure (PKI) Records

Description: a. PKI Administrative Records.

Records are PKI-unique administrative records that establish or support authentication by tying the user to a valid electronic credential and other administrative non-PKI records that are retained to attest to the reliability of the PKI transaction process. Included are policies and procedures planning records; stand-up configuration and validation records; operation records; audit and monitor records; and termination, consolidation, or reorganizing records. Policies and procedures planning records relate to defining and establishing PKI systems. Records relate to such activities as determining that a PKI should be established; creating project implementation plans; creating the certificate policy (CP), certification practice statement (CPS), and other key operating documents; developing procedures in accordance with the CP and CPS; conducting risk analyses; developing records management policies (including migration strategies); and selecting the entity that will serve as registration authority (RA). Stand-up configuration and validation records relate to installing and validating both the Certification Authority (CA) and Registration Authority (RA), obtaining final approval or rejection from the agency oversight or authorizing body, creating and generating a CA signature key, testing security procedures for the CA and RA, validating certification revocation procedures, and establishing back-up and storage for the PKI system. Operation records relate to the certification application; certificate issuance and key generation (including key pair generation and private key loading and storage of private keys and components of private keys); certificate acceptance, validation, revocation, suspension, replacement, and renewal; creating and maintaining an event log; and installing and validating software updates. Audit and monitor records relate to conducting periodic internal and external reviews of auditable events specified in the Federal Bridge Certification Authority (FBCA) X.509 Certificate Policy and other Entity CA policies, monitoring compliance with security requirements specified in the CPS and other operating procedures, investigating internal fraud or misconduct, and conducting internal and external audits of software and systems security. Termination, consolidation, or reorganization records relate to terminating, consolidating, or reorganizing a PKI; notifying subscribers of decisions, transferring inactive keys and revocation certificate lists to storage repositories, transferring consenting subscribers and certificates and related materials to a new Certificate Authority, destroying sensitive records involving privacy (in accordance with an authorized records schedule), and shutting down and disposing of RA hardware and CA software.

(2) Other (non-FBCA et. al.) CAs.

[Note: Select PKI administrative records serve as transaction records that must be retained as part of the trust documentation set with transaction-specific records. Agencies must determine which PKI administrative records are embedded with transaction-specific records as transaction records. These administrative records may vary from transaction-to-transaction. (N1-GRS-07-3 item 13a Note)]

Disposition: Destroy/delete when 7 years 6 months to 20 years 6 months, based on the maximum level of operation of the CA, or when no longer needed for business, whichever is later. (N1-GRS-07-3 item 13a2)

U.S. Department of State Records Schedule

Chapter 03: Records Common to Most Organizational Areas

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A-03-024-13b	Public Key Infrastructure (PKI) Records
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Description:	b. PKI Transaction-specific Records.
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Records relate to transaction-specific records that are generated for each transaction using PKI digital signature technology. Records are embedded or referenced within the transaction stream and may be appended to the transaction content or information record. Along with PKI administrative and other administrative records, transaction-specific records are part of the PKI trust documentation set that establish or support the trustworthiness of a transaction. They may vary from transaction-to-transaction and agency-to-agency. When retained to support the authentication of an electronic transaction content record (information record), PKI digital signature transaction records are program records.

[Note: Extreme care must be taken when applying the GRS-PKI to transaction records. Destruction of the transaction-specific and administrative records embedded in the transaction stream prior to the authorized retention of the information record that they access/protect will render the PKI incapable of performing what it is designed to do-protect and provide access to the information record. Due to the relative newness of PKI technology, both from an implementation and a litigation perspective, it is recommended that agencies identify all PKI transaction records (including PKI select administrative records embedded in the transaction stream and transaction-specific records) to be retained as part of the trust documentation for the records the PKI is designed to protect and or access and link the retention of the transaction records with that of the information record it protects/accesses. Transaction records must be retained as trust documentation set records together with the content/information record. (N1-GRS-07-3 item 13b Note)]

Disposition:	Destroy/delete when 7 years 6 months to 20 years 6 months old, based on the maximum level of operation of the appropriate CA and after the information record the PKI is designed to protect and/or access is destroyed according to an authorized schedule, or in the case of permanent records, when the record is transferred to NARA legal custody. Longer retention is authorized if the agency determines that transaction-specific PKI records are needed for a longer period. (N1-GRS-07-3 item 13b)
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